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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/884,644	06/19/2001	Laurent Guiziou	SP00-131	2645

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CORNING INCORPORATED  
SP-TI-3-1  
CORNING, NY 14831

EXAMINER
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KIM, RICHARD H

ART UNIT	PAPER NUMBER
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2882

DATE MAILED: 06/03/2003

Please find below and/or attached an Office communication concerning this application or proceeding.

# Office Action Summary

Application No.

09/884,644

Applicant(s)

GUIZIOU, LAURENT

Examiner

Richard H Kim

Art Unit

2882

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

## Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

## Status

- 1) ☐ Responsive to communication(s) filed on \_\_\_\_.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

## Disposition of Claims

- 4) ☒ Claim(s) 1-36 is/are pending in the application.
- 4a) Of the above claim(s) 13 is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-12 and 14-36 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_ are subject to restriction and/or election requirement.

## Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on \_\_\_\_ is: a) ☐ approved b) ☐ disapproved by the Examiner.  
If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

## Priority under 35 U.S.C. §§ 119 and 120

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).  
a) ☐ All b) ☐ Some \* c) ☐ None of:  
1. ☐ Certified copies of the priority documents have been received.  
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_.  
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).  
\* See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).  
a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

## Attachment(s)

- 1) ☐ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449) Paper No(s) \_\_\_\_.
- 4) ☐ Interview Summary (PTO-413) Paper No(s) \_\_\_\_.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_\_

## DETAILED ACTION

### *Claim Rejections - 35 USC § 102*

1. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in a patent granted on an application for patent by another filed in the United States before the invention thereof by the applicant for patent, or on an international application by another who has fulfilled the requirements of paragraphs (1), (2), and (4) of section 371(c) of this title before the invention thereof by the applicant for patent.

The changes made to 35 U.S.C. 102(e) by the American Inventors Protection Act of 1999 (AIPA) and the Intellectual Property and High Technology Technical Amendments Act of 2002 do not apply when the reference is a U.S. patent resulting directly or indirectly from an international application filed before November 29, 2000. Therefore, the prior art date of the reference is determined under 35 U.S.C. 102(e) prior to the amendment by the AIPA (pre-AIPA 35 U.S.C. 102(e)).

2. Claims 1-4, 6, 21-22, 24 and 28 are rejected under 35 U.S.C. 102(e) as being anticipated by Lagali et al. (US 6,293,597 B1).

Referring to claim 1, Lagali et al. discloses an optical device comprising a first row of M optical circuit stages, each of the M optical circuit stages being connected to an adjacent optical circuit stage by N parallel waveguides having substantially no curvature (see Fig. 3, ref. 1, 2); and a second row of M optical circuit stages, each of the M optical circuit stages being connected to an adjacent optical circuit by N parallel waveguides having substantially no curvature (see

Fig. 3, ref. 3, 4), wherein the first row is coupled to the second row to form a multi-stage planar device, and N and M are integers (see 3, ref. 4 X 4 MMI).

Referring to claim 2, Lagali et al. discloses an optical device wherein each of the M optical circuit stages includes N-optical circuit units to form and N X N multi-stage planar device (see Fig. 3, ref. MMI).

Referring to claim 3, Lagali et al. discloses an optical device wherein the optical circuit includes a switching device (see col. 8, lines 5-26).

Referring to claim 4, Lagali et al. discloses an optical device wherein the optical circuit includes a Mach-Zehnder switch (see col. 8, lines 5-26).

Referring to claim 6, Lagali et al. discloses an optical device wherein each optical circuit unit includes a directional coupler (see col. 8, lines 15-24).

Referring to claim 21, Lagali et al. discloses a method comprising providing a planar device having a plurality of rows (see Fig. 3, ref. 1-4), each of the plurality of rows having M optical circuit stages (see Fig. 3, ref. 5h, 5f), each of the M optical circuit stages being connected to an adjacent optical circuit stage by N parallel waveguides having substantially no curvature (see Fig. 3, ref. 4 and 6), wherein N and M are integers; separating the planar device including a plurality of discrete components, wherein each discrete component includes a row or plurality of rows (see Fig. 3, ref. 1, 2 and 3, 4); and coupling the plurality of discrete components to form a multi-stage planar device (see Fig. 3; ref. MMI).

Referring to claim 22, Lagali et al. discloses a method wherein the step of providing includes providing each component with N input waveguides and N output waveguides (see Fig. 3, ref. 1-4).

Referring to claim 24, Lagali et al. a method wherein the step of coupling includes connecting the N output waveguides of a discrete component to the N input waveguides of an adjacent discrete component using a chip-to-chip connection (see Fig. 3, ref. 4, 6).

Referring to claim 28, Lagali et al. discloses a method wherein the planar device is an N x N switch fabric (see Fig. 3).

3. Claims 5, 14 and 29-36 are rejected under 35 U.S.C. 103(a) as being unpatentable over Lagali et al.

Referring to claim 5, Lagali discloses the device previously recited. However, the reference does not disclose that the switching device includes a Y-digital optical switch.

It would have been obvious to one having ordinary skill in the art at the time the invention was made to have the switching device include a Y-digital coupler since the general function of the optical device is independent of the type of switching device used. Further, neither one of the listed switching device provides a significant advantage over the other, and as a result, one of ordinary skill in the art can use either switching devices to provide a switching means for the intended use of the optical device.

Referring to claim 14, Lagali discloses the device previously recited. However, the reference does not disclose that the first row and the second row are connected by optical fibers.

It would have been obvious to one having ordinary skill in the art to connect the first row and the second row by optical fibers since optical fibers are well known in the art to provide efficient coupling between two optical devices.

Referring to claim 29, Lagali et al. discloses a method comprising the steps of disposing a matrix of optical circuit stages being connected to an adjacent optical circuit stage by N parallel waveguides extending in a first direction to form at least one row of M optical circuit stages, wherein the parallel waveguides have substantially no curvature, and N and M are integers (see Fig. 3). However, the reference does not disclose that the method comprises the step of providing a substrate.

It would have been obvious to one having ordinary skill in the art to provide a substrate in order to provide a base layer for which the circuit is laid out, thereby improving the stability of the device by incorporating all the optical components on one single base layer. Moreover, substrates are well known in the art as a base layer for optical circuits.

Referring to claim 30, Lagali et al. discloses a method comprising the steps of separating the at least one row of M optical circuit stages into a plurality of optical circuit components; and coupling the plurality of optical circuit components to form a multistage planar device (see Fig. 3).

Referring to claim 31-35, Lagali et al. discloses the method previously recited. However, the references do not disclose the method wherein the substrate comprises of silicon, silica, silica material, polymer material or semiconductor material.

It would have been obvious to one having ordinary skill in the art at the time the invention was made to have the substrate made of silicon, silica, polymer material or semiconductor material since it has been held to be within the general skill of a worker in the art to select a known material on the basis of suitability for the intended use as a matter of obvious design choice. *In re Leshin*, 125 USPQ 416. Further, one of ordinary skill in the art may choose

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any of the above listed material since one does not provide a significant advantage over the other, and either may be used for the optical device.

Referring to claim 36, Lagali et al. discloses the device previously recited. However, the references do not disclose that the approximate surface area of the substrate is 100mm X 100mm.

It would have been obvious to one having ordinary skill in the art at the time the invention was made to have the surface area of the substrate to be approximately 100mm X 100mm since one would be motivated to provide a sufficient amount of surface area to accommodate the optical components without significantly decreasing the speed of the device. Further, it has been held that where the general conditions of a claim are disclosed in the prior art, discovering the optimum or workable ranges involves only routine skill in the art. *In re Aller*, 105 USPQ 233

4. Claims 7-12 are rejected under 35 U.S.C. 103(a) as being unpatentable over Lagali et al. in view of Edwards et al. (US 6,404,942 B1).

Referring to claim 7, Lagali et al. disclose the device previously recited. However, the references do not disclose the device wherein the optical circuit unit includes a MEMS device.

Edwards et al. discloses a device wherein an optical circuit unit includes a MEMS device (see abstract).

It would have been obvious to one having ordinary skill in the art at the time the invention was made for the optical circuit unit to include a MEMS device since one would be motivated to maximize the accuracy of the device. According to Edwards et al., using a MEMS

device reduces cross talk because the waveguides are physically isolated from one another and coupling cannot occur" (see col. 1, lines 35-42).

Referring to claims 8-12, Lagali et al. discloses the device previously recited. However, the references do not disclose the device wherein the optical circuit unit includes a thermo-optical actuator, a mechanical actuator, an electro-optical actuator, an electrostatic actuator or a magnetic actuator.

Edwards et al. discloses a device wherein an optical circuit unit includes an electro-optic actuator and a thermo-optic actuator (see col. 1, lines 33-34).

It would have been obvious to one having ordinary skill in the art at the time the invention was made to have the device wherein the optical circuit unit includes a thermo-optical actuator, a mechanical actuator, an electro-optical actuator, a electrostatic actuator or a magnetic actuator, since one would be motivated to actuate the switch and the function of the device is independent of the type of actuating mechanism. Further, either actuating mechanisms listed may be used for the intended purpose of the optical device, since neither one of the actuating mechanism provides a significant advantage over the other.

5. Claim 15 is rejected under 35 U.S.C. 103(a) as being unpatentable over Lagali et al. in view of Kuroyanagi et al. (US 6,154,583).

Lagali et al. discloses the device previously recited. However, the reference does not disclose that the first row is connected to the second row by a chip-to-chip connection.

Kuroyanagi et al. discloses a device wherein a first row is connected to a second row by a chip-to-chip connection (see Fig. 5, 2<sup>nd</sup> stage).



It would have been obvious to one having ordinary skill in the art at the time the invention was made to have the first row connected to the second row by a chip-to-chip connection in order to provide efficient coupling between the optical fibers (see col. 9, lines 17-34).

6. Claims 16-17 are rejected under 35 U.S.C. 103(a) as being unpatentable over Lagali and Kuroyanagi et al., in view of Douglass (US 5,786,979).

Lagali et al. disclose the device previously recited. However, the references do not disclose the chip-to-chip connection includes a laser weld or an adhesive; and the steps of coupling includes connecting the N output waveguides of a discrete components to the N input waveguides of an adjacent discrete components by laser welding or using an adhesive.

Douglass discloses a device wherein an optical device to optical device connection includes an adhesive (see col. 5, lines 39-40).

It would have been obvious to one having ordinary skill in the art at the time the invention was made to have the chip-to-chip connection include an adhesive or laser welding; or the steps of coupling includes connecting the N output waveguides of a discrete components to the N input waveguides of an adjacent discrete components by laser welding or using an adhesive since one would be motivated to increase the durability of the device by providing a secure bond between the optical components to prevent accidental detachment. Further, using either a laser weld or adhesive would be obvious since neither one of the actuating mechanisms

provides a significant advantage over the other, and using either one maintains the primary purpose of the device.

7. Claims 25-26 are rejected under 35 U.S.C. 103(a) as being unpatentable over Lagali et al. in view of Douglass.

Lagali et al. disclose the device previously recited. However, the references do not disclose the chip-to-chip connection includes a laser weld or an adhesive; and the steps of coupling includes connecting the N output waveguides of a discrete components to the N input waveguides of an adjacent discrete components by laser welding or using an adhesive.

Douglass discloses a device wherein an optical device to optical device connection includes an adhesive (see col. 5, lines 39-40).

It would have been obvious to one having ordinary skill in the art at the time the invention was made to have the chip-to-chip connection include an adhesive or laser welding; or the steps of coupling includes connecting the N output waveguides of a discrete components to the N input waveguides of an adjacent discrete components by laser welding or using an adhesive since one would be motivated to increase the durability of the device by providing a secure bond between the optical components to prevent accidental detachment. Further, using either a laser weld or adhesive would be obvious since neither one of the actuating mechanisms provides a significant advantage over the other, and using either one maintains the primary purpose of the device.

7. Claim 18 rejected under 35 U.S.C. 103(a) as being unpatentable over Lagali et al. and Kuroyanagi et al., in view of Dannoux et al. (US 5,447,585).

Lagali et al. discloses the device previously recited. However, the references do not disclose that the chip-to-chip connection is implemented using a mass pigtailing technique.

Dannoux et al. discloses a mass pigtailing technique (see abstract).

It would have been obvious to one having ordinary skill in the art to implement a mass pigtailing technique in the chip-to-chip connection since one would be motivated to facilitate optical connections between the chips. By providing mass pig-tailing techniques between the chips, a secure connection between chips can be made while providing freedom of mobility from one chip with respect to another chip, thereby adding versatility to the device by adding adjustability to the arrangement of the chips.

8. Claim 19 and 20 are rejected under 35 U.S.C. 103(a) as being unpatentable over Lagali et al. and Kuroyanagi et al., in view of Graves (US 6,366,716 B1).

Referring to claim 19, Lagali et al. and Kuroyanagi et al. disclose the device previously recited. However, the references do not disclose the chip-to-chip connection includes aligning and mounting the first row and second row on an alignment substrate.

Graves et al. discloses a device wherein the optical components are disposed on an alignment substrate (see col. 3, lines 44-49).

It would have been obvious to one having ordinary skill in the art at the time the invention was made to have the chip-to-chip connection include aligning and mounting the first

row and second row on an alignment substrate since one would be motivated to increase the ease of aligning the optical components with one another, thereby adding precision to the device.

According to Graves et al. "Implementing the optical switching devices as monolithic structures on silicon wafers allows alignment features to be provided such that components of the device can be positioned and interconnected within required tolerances" (see col. 3, lines 44-49).

Referring to claims 20, Lagali et al. and Kuroyanagi et al. disclose the device and method previously recited. However, the references do not disclose the device wherein an index-matching material is disposed between the first and second rows.

Graves et al. discloses a device and method wherein an index-matching material is disposed between optical components (see col. 14, line 20).

It would have been obvious to one having ordinary skill in the art at the time the invention was made to have an index-matching material disposed between the first and second rows in order to reduce coupling loss between the first and second row. According to Graves et al., such a modification would provide a continuous optical path therethrough, thereby preventing coupling loss due to discontinuity within the path that could arise due to variations of the refractive index.

8. Claim 27 is rejected under 35 U.S.C. 103(a) as being unpatentable over Lagali et al. in view of Graves et al.

Lagali et al. discloses the method previously recited. However, the references do not disclose the method wherein an index-matching material is disposed adjacent discrete components.

Graves et al. discloses a device and method wherein an index-matching material is disposed between optical components (see col. 14, line 20).

It would have been obvious to one having ordinary skill in the art at the time the invention was made to have an index-matching material disposed between discrete adjacent components in order to reduce coupling loss between the first and second row. According to Graves et al., such a modification would provide a continuous optical path therethrough, thereby preventing coupling loss due to discontinuity within the path that could arise due to variations of the refractive index.


### *Conclusion*

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Richard H Kim whose telephone number is (703)305-4791. The examiner can normally be reached on 8:30-5:00 M-F.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Robert H Kim can be reached on (703)305-3492. The fax phone numbers for the organization where this application or proceeding is assigned are (703)308-7722 for regular communications and (703)308-7724 for After Final communications.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is (703)308-0956.

Richard H Kim  
Examiner  
Art Unit 2882

  
ROBERT H. KIM  
SUPERVISOR, PATENT EXAMINER

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RHK

May 20, 2003